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ABSTRACT

Hawaii's Foundation Program Assessment and Improvement System (FPAIS) is the Department of Education's comprehensive system for managing the curriculum. The improvement component of this system involves participation of work groups at state, district, and school levels. This document describes the responsibilities, the location in the administrative structure, and the composition of work groups at each level. The document further identifies the procedures involved in development, implementation, and evaluation of plans initiated at state, district, and school levels for improvement of the Foundation Program. Appendixes chart Hawaii's reading assessment and improvement process, describe coordination of the FPAIS with the Department of Education's Project Management System, and explain Hawaii's use of the planning, programming, budgeting system. (Author/PGD)

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Procedural Handbook for the IMPROVEMENT COMPONENT of the Foundation Program Assessment and Improvement System (FPAIS)

Office of Instructional Services/Community and Support Services Branch
Department of Education • State of Hawaii • TAC 77-4721 • December 1977

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FOREWORD

The purpose of this handbook is to assist State, District, and School personnel in implementing the Improvement Component of the Foundation Program Assessment and Improvement System (FPAIS).*

The Foundation Program Assessment and Improvement System is the Department of Education's comprehensive system for managing the curriculum. Based on *The Master Plan for Public Education in Hawaii* (1965), the Foundation Program assists schools in carrying out the commitments of public education in Hawaii.

The primary intent of the Foundation Program Assessment and Improvement System is to improve instruction for students through systematic improvements in the Foundation Program. Assessments are implemented, coordinated and related to curriculum improvements by this curriculum management system.

As described in the base document, the system consists of an Assessment Component and an Improvement Component. The Assessment Component in turn consists of both Testing and Non-Testing elements, with emphasis on curriculum review and analysis. In addition to a design for curriculum improvement applicable to all levels of the Department, major principles to guide curriculum improvement in the Department are included.

Principle of Linkage with Available Information
Principle of Multiple Initiatives and Shared Responsibility
Principle of Improvement as Changed Behavior
Principle of Incremental Change
Principle of Communication, Consultation and Involvement
Principle of Resource Commitments According to Established Priorities
Principle of Utilizing Personnel Expertise to the Fullest
Principle of Fully Utilizing External Resources
Principle of Accountability

The duties and responsibilities of various work groups for the improvement portion of the Foundation Program Assessment and Improvement System are described and procedures for improving the Foundation Program are discussed in this publication. Because program improvement is a shared responsibility involving all levels of the Department, procedures for State, District, and School-Initiated improvements have been developed.

This procedural handbook for curriculum improvement is the result of a Department-wide effort. Many individuals from the State, District, School, University, Professional and Community sectors have contributed substantial time and energies toward its development.

The further refinement of this publication will proceed as an ongoing effort. Suggestions for improving it will be welcomed.

Charles G. Clark
Superintendent

Foundation Program Assessment and Improvement System, Office of Instructional Services, TAC No. 77-4297, October 1977.

ACKNOWLEDGMENTS

This procedural handbook is one of two publications supporting the base document entitled *Foundation Program Assessment and Improvement System.*

In developing the handbook, the Review and Dissemination Committee for the Foundation Program Assessment and Improvement System organized in 1976-77 played a key developmental role. The current members of this committee are as follows:

Mr. Claudio Suyat, Chairman	Deputy District Superintendent, Windward
Mr. George Yamamoto	District Superintendent, Central
Dr. Oei Maehara	Curriculum Specialist, Honolulu
Miss Aiko Otomo	Deputy District Superintendent, Leeward
Dr. Elaine Kono	Curriculum Specialist, Hawaii
Mr. Michael Hazama	Deputy District Superintendent, Maui
Mrs. Mary Nakashima	Deputy District Superintendent, Kauai
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Dr. Mark Lester	Representative, Hawaii Congress of Parents and Teachers
Miss Julie Ching	Representative, Students
Mr. Darrel Schuetz	Representative, Hawaii Council of Teachers of English
Mrs. Patsy Izumo	Director, Support Services Branch, OIS
Mrs. Patricia Ho	Teacher Representative
Mrs. Nancy Matsumura	Representative, School Advisory Council

Special gratitude is extended to Mr. Stanley Koki for his leadership and to the many individuals whose efforts have resulted in the creation of this procedural handbook.

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PART I

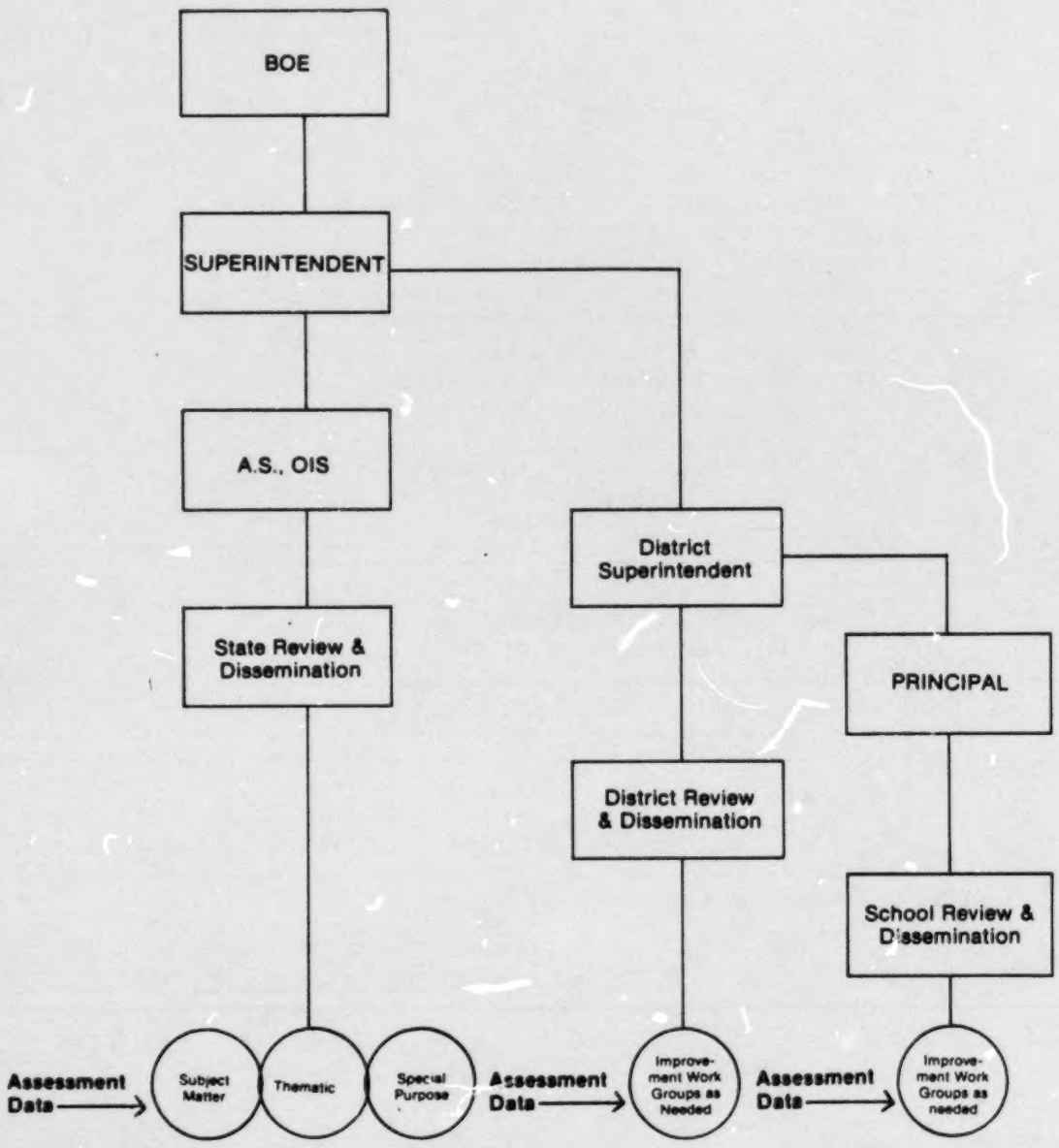
IMPROVEMENT WORK GROUPS

A. OVERVIEW

The Improvement Component delineates procedures and a structure of work groups consisting of (1) Review and Dissemination work groups, and (2) others as needed. Especially at the State level, these groups may be (a) Subject Matter, (b) Thematic, and (c) Special Purpose work groups.

The figure below illustrates the relationship between the Review and Dissemination work group and other work groups at each of the State, District and School levels.

Figure 1. Relationship of Improvement Work Groups State, District, and School Levels



B. DESCRIPTION OF WORK GROUPS

1. Review and Dissemination Work Groups

- **State Review and Dissemination**

The duties of the State Review and Dissemination work group are to carry out assignments from the Assistant Superintendent of the Office of Instructional Services, to recommend improvement activities and priorities in light of statewide conditions and needs, and to assist in the coordination of State assessment and improvement efforts. Membership consisting of a wide range of expertise and professional background is recommended. The following composition is suggestive only:

Composition

Deputy Superintendents
OIS Directors
Office of Library Services Representative
Office of Personnel Services Representative
Office of Business Services Representative
Budget Branch Representative
Planning & Evaluation Branch Representative
Management Audit Branch Representative
Public Relations Branch Director
UH, College of Education Representative
UH, Curriculum Research & Development Group Representative
Teacher Representative
School Advisory Council Representative
Elementary Principal
Intermediate Principal
High School Principal
FPAIS Coordinator
Assessment Project Coordinator
Community Representative
Student Representative
Hawaii Congress of Parents & Teachers Representative
Public Library Representative

Schedule

A meeting scheduled every other month and as needed is recommended.

- **District Review and Dissemination**

The duties of the District Review and Dissemination work group are to provide for coordination of State-Initiated and School-Initiated improvement activities within the District, to recommend improvement activities and priorities to the District Superintendent in light of District conditions and needs, and to coordinate District assessment and improvement efforts.

This District work group shall arrange for improvement work groups as needed. If testing data are required, it shall arrange for testing through the District Superintendent.

Composition

The District FPAIS Review and Dissemination work group may be an existing work group in the District office, with modifications made in the composition to achieve a wide base of interest and representation in curriculum improvement efforts within the District. It is suggested that the membership include the Deputy District Superintendent, representatives from the various work units among the District staff, principals, teachers, students, and community representatives.

Schedule

A schedule of meetings every other month and as needed is recommended.

- **School Review and Dissemination**

The duties of the School Review and Dissemination work group are to provide for coordination of State-Initiated and District-Initiated improvement activities at the school level, to recommend improvement activities and priorities to the Principal in light of school conditions and needs, and to coordinate school assessment and improvement efforts.

The School Review and Dissemination work group shall arrange for improvement work groups as needed. If testing data are required, it shall arrange for testing through the Principal.

Composition

It is suggested that membership include representation from school administration and support services, subject and grade level chairmen, students, parents, and community representatives.

Schedule

A schedule of meetings every other month and as needed is recommended.

2. **Other Work Groups**

The work groups described in this section are appropriate especially at the State level. However, this should not preclude their creation at the School or District levels according to need.

a. **Subject Matter Work Groups**

The duties and responsibilities are as follows:

1) Review and analyze information related to the subject area:

- DOE publications on the Foundation Program and Foundation Program objectives
- DOE publications on related subject areas, themes, topics
- Assessment information
- Other data from districts and schools
- Curriculum theories and program models at the state, national and international levels relevant to the subject area

2) Formulate improvement recommendations relating to:

- Development or revision of program guides and resource materials
- Change strategy to be implemented (or suggested mix of strategies)
- Program improvement activities to be conducted, including pilot-testing of promising programs and coordination of subject area program with other subject areas, themes, or topics
- Monitoring and evaluation provisions

3) Present Improvement recommendations to State Review and Dissemination work group for appropriate action.

4) Monitor and review implementation of State improvement activities.

Composition

Content Area Program Specialist(s)
District Curriculum Specialist(s)
Teacher Education Specialist(s)
Academic Scholars
School Representatives
Student Representatives
Parents

b. **Thematic Work Groups**

The duties and responsibilities of these work groups are to:

1) Consider the study of the thematic area in the State curriculum.

2) Advise and assist the Office of Instructional Services in providing State direction, programming, and coordination for the thematic area.

3) If necessary develop a framework for the Thematic area including (a) rationale, (b) goals and objectives, (c) guidelines and suggestions for content, activities and strategies, (d) materials, (e) examples of exemplary programs.

4) Formulate and implement a plan for achieving the objectives of the framework.

Composition

Content Area Program Specialist(s)
District Curriculum Specialist(s)
Teacher Education Specialist(s)
Academic Scholars
School Representatives
Student Representatives
Parents

b. **Thematic Work Groups**

The duties and responsibilities of these work groups are to:

1) Consider the study of the thematic area in the State curriculum.

2) Advise and assist the Office of Instructional Services in providing State direction, programming, and coordination for the thematic area.

3) If necessary develop a framework for the Thematic area including (a) rationale, (b) goals and objectives, (c) guidelines and suggestions for content, activities and strategies, (d) materials, (e) examples of exemplary programs.

4) Formulate and implement a plan for achieving the objectives of the framework.

Composition

Content Area Program Specialist(s)
District Curriculum Specialist(s)
Teacher Education Specialist
Academic Scholars
School Representatives
Student Representatives
Parents

c. **Special Purpose Work Groups**

The duties and responsibilities of these work groups are to:

1) Provide assistance to the Office of Instructional Services and recommend improvements in selected areas which are neither Subject Matter nor Thematic area.

2) Advise and assist the Office of Instructional Services in providing State direction and coordination for the Special Purpose area.

Composition

The attempt has not been made to specify the composition and operation of these work groups, since there are a great diversity of issues and topics which could require their creation.

PART II

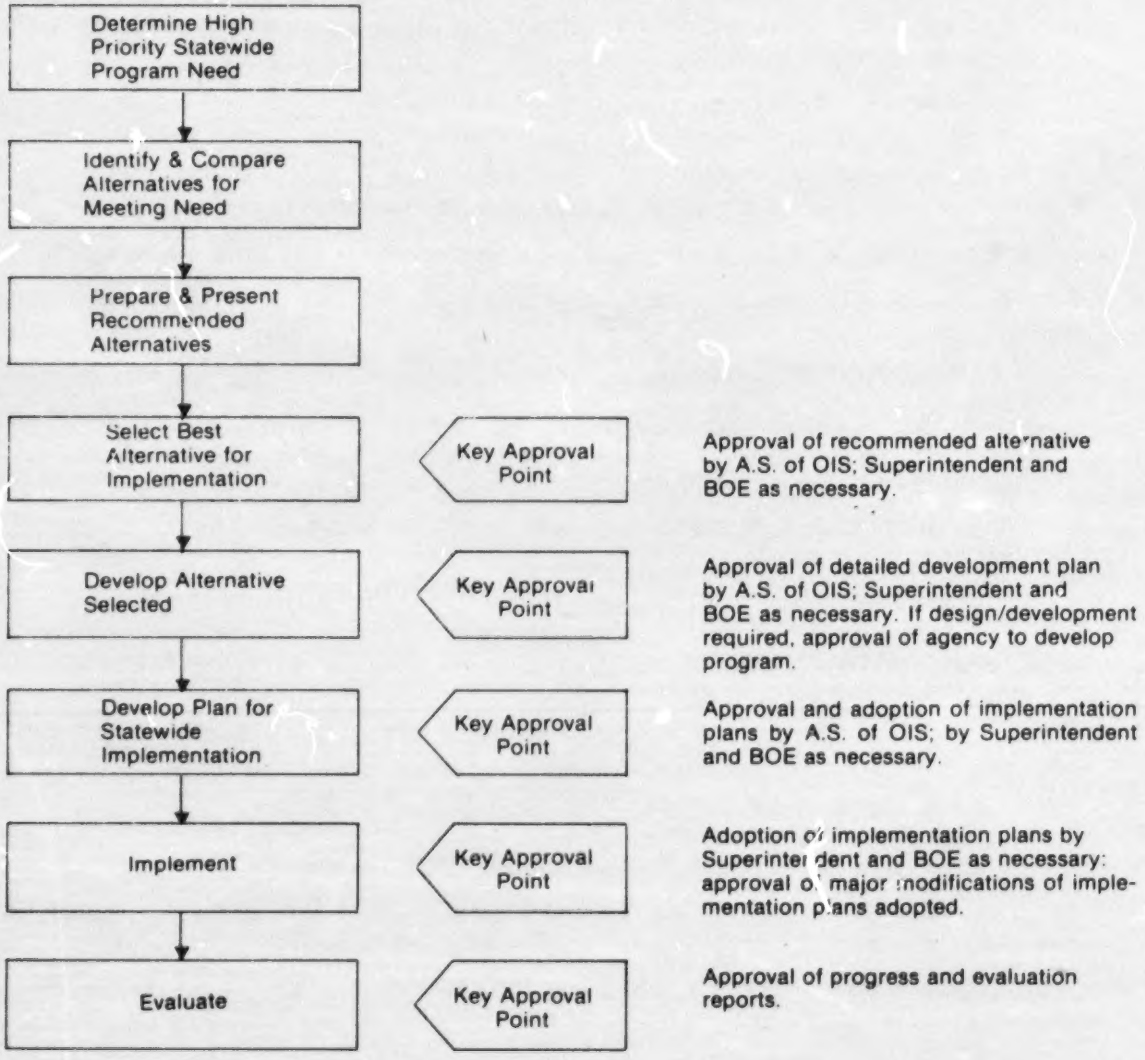
CHANGE STRATEGIES—STATE, DISTRICT, SCHOOL

A. PROCEDURES FOR STATE-INITIATED CHANGE: FULL STATEWIDE DELIVERY OF IMPROVEMENT PROVISIONS

The criteria for selecting the State-Initiated Change Strategy are the detection and analysis of a high priority curriculum need with statewide implications and the decision that this need can best be met through the development and delivery of improvement provisions on a statewide basis. If the improvement provision consists of a program or program element, the concept of *delivery* includes research and development as needed; provisions for student and teacher materials; and furnishing of all necessary services to support installation, including inservice of personnel and field consultation.

The following figure indicates the major activities in the State-Initiated Change Strategy and the key approval points in relation to the activities.

Figure 2. State-Initiated Change Strategy


Determine High Priority Statewide Program Need
Identify & Compare Alternatives for Meeting Need
Prepare & Present Recommended Alternatives
Select Best Alternative for Implementation
Key Approval Point
Approval of recommended alternative by A.S. of OIS; Superintendent and BOE as necessary.
Develop Alternative Selected
Key Approval Point
Approval of detailed development plan by A.S. of OIS; Superintendent and BOE as necessary. If design/development required, approval of agency to develop program.
Develop Plan for Statewide Implementation
Key Approval Point
Approval and adoption of implementation plans by A.S. of OIS; by Superintendent and BOE as necessary.
Implement
Key Approval Point
Adoption of implementation plans by Superintendent and BOE as necessary; approval of major modifications of implementation plans adopted.
Evaluate
Key Approval Point
Approval of progress and evaluation reports.

The section which follows identifies major improvement work phases in relation to the duties and responsibilities of State, District and School staff in the implementation of the State-Initiated Change Strategy.

Work Phases: (1) IDENTIFICATION AND ANALYSIS OF PROGRAM NEEDS (2) ANALYSIS, SELECTION AND RECOMMENDATION OF SOLUTION ALTERNATIVE(S)

Duties and Responsibilities

STATE

1. Utilize Improvement work groups, technical staff, other resource personnel and agencies, and information from School-District-State levels to plan and coordinate the analysis of needs for the program area and the reviewing, analyzing, and formulating of improvement recommendations.
2. Provide feedback to Districts and Schools as appropriate.

DISTRICT

1. Provide representation on State Improvement work groups as requested.
2. Provide consultation and input into State analysis of needs and program review.
3. Arrange for school consultation and input into State analysis of needs and program review.
4. Provide feedback to schools as appropriate.

SCHOOL

1. Provide representation on State Improvement work groups as requested.
2. Provide District Office with appropriate school information in carrying out need analysis and program review.

Work Phase: (3) DEVELOPMENT OF ALTERNATIVE SELECTED (IF DESIGN OR DEVELOPMENT IS REQUIRED)

STATE

1. Arrange for project consignment to appropriate agency to execute developmental tasks: preparation of detailed development plan, design validation, materials development, field-testing, revisions, and other appropriate activities.
2. Maintain liaison with project; consult and advise; monitor and review project status; disseminate project information to Districts and Schools.
3. Assist in planning, conducting field-trials, and other appropriate developmental activities. Provide feedback to Districts and Schools.

DISTRICT

1. Coordinate District and School involvement in developmental activities as appropriate, such as field-testing.
2. Assist in orientation of school personnel to project.

SCHOOL

1. Provide field-test sites and trials of project materials.
2. Provide requested feedback to project personnel.

Work Phase: (4) DEVELOPMENT OF IMPLEMENTATION PLAN

Duties and Responsibilities

STATE

1. Work closely with Districts and appropriate resource agencies to develop implementation plan consisting of objectives; installation time frame and schedule; personnel, budget, and logistical requirements; support services; evaluation.
2. Provide District personnel (including teacher leadership group) with orientation on the implementation plan.
3. Provide feedback to Districts and Schools as appropriate.

DISTRICT

1. Provide State with District information requested for the preparation of the statewide implementation plan.
2. Arrange for school involvement on plan; provide feedback to schools as appropriate on the results of their involvement.
3. Identify teacher leadership group for District implementation of State implementation plan.
4. Provide orientation to school personnel.
5. Assist school in orientation of parents and the community on implementation.

SCHOOL

1. Provide District with school information requested for the preparation of the statewide implementation plan.
2. Assist District Office in identifying teachers to provide leadership during the statewide implementation of the plan.
3. Orient parents, students and the community on the statewide implementation plan.

Work Phase: (5) IMPLEMENTATION OF THE STATEWIDE IMPROVEMENT PLAN

Duties and Responsibilities

STATE

1. Use District consultants and needed resource agencies to provide for statewide leadership and coordination of all phases of the installation effort.
2. Provide consultation and direction to District personnel and District teacher leadership group.
3. Monitor District progress on the statewide installation.
4. Prepare management reports.
5. Provide installation progress information to Districts, schools, and public.
6. Coordinate any needed revision of the installation plan.

DISTRICT

1. Provide District-wide leadership and coordination on the statewide installation.
2. Assist in inservice activities for the installation plan.
3. Provide needed consultation to State personnel during installation effort.
4. Provide (with teacher leadership group) needed field consultation and assistance to schools.
5. Arrange for school involvement in the installation effort and provide feedback to schools as appropriate.
6. Provide periodic progress reports to State personnel for management purposes.
7. Assist schools in keeping parents and the community informed on the progress of the statewide installation.

SCHOOL

1. Participate in inservice activities for the program.
2. Install the program in schools.
3. Adapt the program to fit particular school conditions and needs.
4. Provide needed consultation and information to District Office during installation effort.
5. Keep parents and the community informed on the school's progress on the state installation.

Work Phase: (6) EVALUATION OF THE STATEWIDE IMPROVEMENT PLAN

Duties and Responsibilities

STATE

1. Plan and carry out quality control provisions for statewide installation effort.
2. Monitor the installation statewide.
3. Evaluate installation effort.
4. Provide feedback to Districts and Schools on evaluation results.
5. Recommend re-study if program no longer meets statewide needs.

DISTRICT

1. Provide needed consultation to State personnel on quality control provisions.
2. Provide State with schooi reports as requested.
3. Recommend re-study if program no longer seems to meet school needs.

SCHOOL

1. Provide District with school reports as requested.
2. Provide assistance and cooperation on all phases of evaluation efforts as requested.

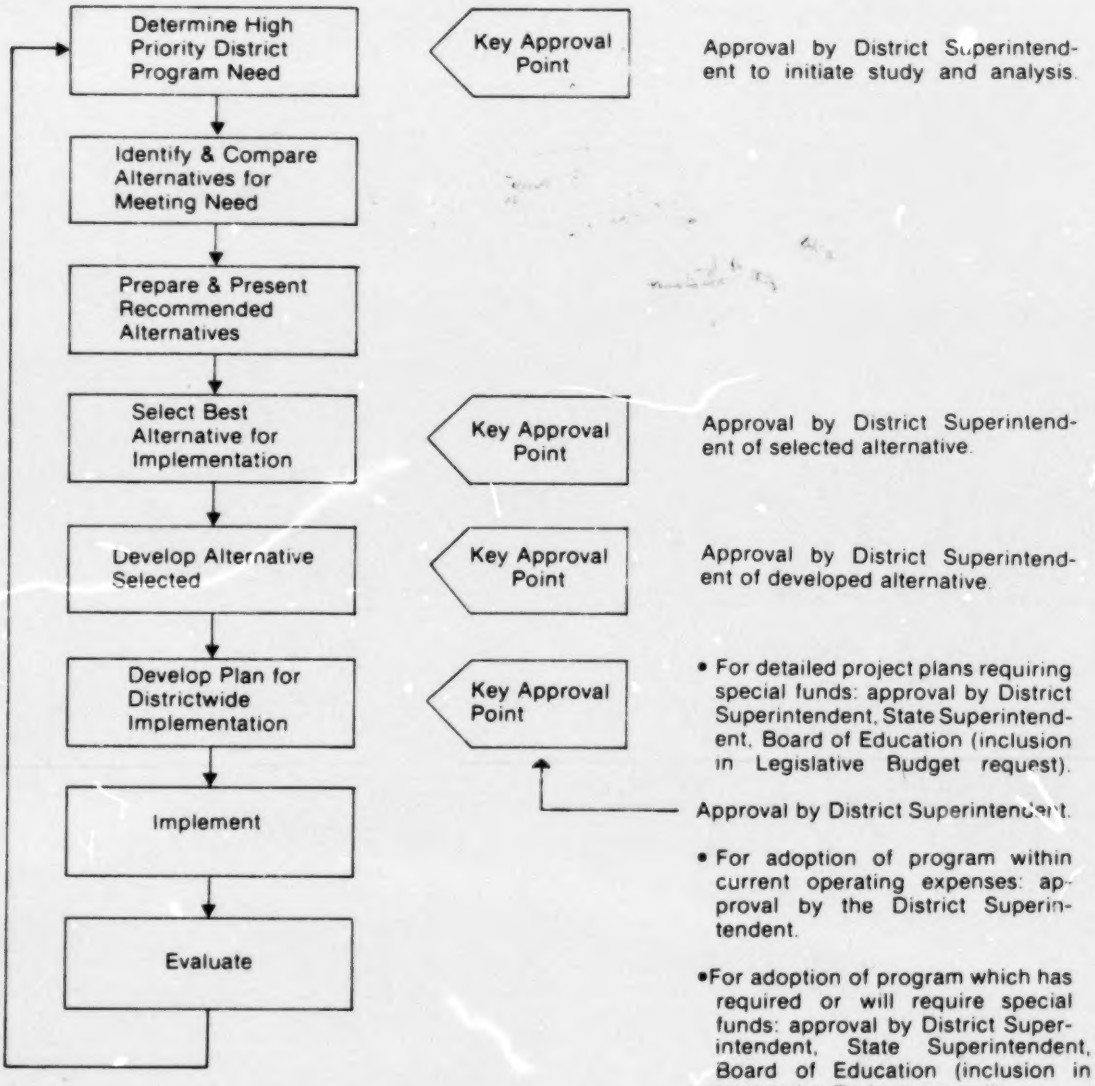
B. PROCEDURES FOR DISTRICT-INITIATED CHANGE: SELECTION OR DEVELOPMENT OF DISTRICT IMPROVEMENT PROVISION

The criteria for selecting the District-Initiated Change Strategy are the detection and analysis of a high priority curriculum need within a District and the decision that this need can best be met through the development and delivery of District improvement provisions.

The major activities in the District-Initiated Change Strategy and the key approval points in relation to the activities are contained in the figure below.

Figure 3. District-Initiated Change Strategy

District-Initiated Change Process


Determine High Priority District Program Need
Key Approval Point
Approval by District Superintendent to initiate study and analysis.
Identify & Compare Alternatives for Meeting Need
Prepare & Present Recommended Alternatives
Select Best Alternative for Implementation
Key Approval Point
Approval by District Superintendent of selected alternative.
Develop Alternative Selected
Key Approval Point
Approval by District Superintendent of developed alternative.
Develop Plan for Districtwide Implementation
Key Approval Point
• For detailed project plans requiring special funds: approval by District Superintendent, State Superintendent, Board of Education (inclusion in Legislative Budget request).
Approval by District Superintendent.
Implement
• For adoption of program within current operating expenses: approval by the District Superintendent.
Evaluate
•For adoption of program which has required or will require special funds: approval by District Superintendent, State Superintendent, Board of Education (inclusion in Legislative Budget request).

The section which follows identifies major improvement work phases in relation to the duties and responsibilities of District, School and State personnel.

Work Phases: (1) IDENTIFICATION AND ANALYSIS OF PROGRAM NEEDS
(2) ANALYSIS, SELECTION AND RECOMMENDATION OF SOLUTION ALTERNATIVE(S)

Duties and Responsibilities

DISTRICT

1. Take initiative in identifying special District needs deserving coordinated study and action on a District-wide basis. Notify State of intent as appropriate.
2. Invite school involvement and participation in anticipated District improvement effort.
3. Organize and schedule inter-school committee for further analysis of problem areas and consideration of improvement alternatives.
4. Provide inter-school committee(s) with available information concerning needs and existing or anticipated program ideas related to needs.
5. Coordinate special studies, data gathering and/or purchase of materials needed by the committee as necessary.
6. Suggest and coordinate use of specialized resource agencies for consultation and assistance.
7. Request assistance of appropriate State personnel at any stage of identification and analysis of need, program review, and identification and selection of alternatives.
8. Forward selected alternative through the District Superintendent to the State Superintendent for review.
9. Provide feedback to schools on alternative selected.

SCHOOL

1. Provide committee representation and participate in all phases of District improvement effort: identification and analysis of needs, review of program, identification and selection of alternatives.
2. Provide consultation and advice to District on committee matters.
3. Cooperate in surveys and supply data requested by District.

STATE

1. Provide needed consultation and assistance to District in identification and analysis of needs, review of programs, identification and selection of alternatives.
2. Facilitate contacts with needed external resource agencies in State or nation.

Work Phase: (3) DEVELOPMENT OF ALTERNATIVE SELECTED

DISTRICT

1. Prepare plans for developing the alternative selected.*
2. Coordinate the implementation of all aspects of the plan.
3. Arrange for use of specialized resource agencies as needed. Request assistance of appropriate State personnel.
4. Provide feedback to schools on plans.

SCHOOL

1. Provide assistance to District upon request in developing the alternative selected.
2. Provide test sites, as necessary.

STATE

1. Review and study District plans from the State perspective. Suggest changes if necessary.
2. Facilitate contacts with needed external resource agencies in the State or nation.
3. Disseminate information statewide on District efforts.

Work Phase: (4) DEVELOPMENT OF IMPLEMENTATION PLAN

DISTRICT

1. Work closely with schools and State as appropriate to develop implementation plan consisting of objectives; installation time frame and schedule; personnel, budget and logistical requirements; support services; evaluation.
2. Provide orientation to schools on the implementation plan.
3. Coordinate with State as appropriate.

SCHOOL

1. Provide school level input and assistance in developing the implementation plan.
2. Participate in orientation activities.

STATE

1. Provide technical assistance to District as requested in developing the implementation plan.

---

*If project requires special funds and/or has been identified as having statewide significance, forward plan through District Superintendent to State Superintendent. Use Project Management System (PMS) format.

Work Phase: (5) IMPLEMENTATION OF DISTRICT IMPROVEMENT PLAN

Duties and Responsibilities

DISTRICT

1. Provide District leadership and coordination for all phases of implementation process.
2. Provide needed consultation and direction to school personnel.
3. Monitor progress of District implementation and prepare management system reports.
4. Provide progress information to State and schools in the District.

SCHOOL

1. Implement all phases of the improvement plan in schools. Adapt implementation to fit particular school conditions and needs.
2. Provide District with feedback on the status and progress of the implementation of the developed alternative at the school level.

STATE

1. Provide technical assistance and support to District as needed.
2. Disseminate information statewide on District improvement plan.

Work Phase: (6) EVALUATION OF THE DISTRICT-WIDE IMPROVEMENT PLAN

Duties and Responsibilities

DISTRICT

1. Assume leadership in evaluating the effectiveness of the improvement plan.
2. Coordinate subsequent review of District improvement efforts.
3. Recommend re-study as necessary.
4. Provide feedback to schools as appropriate.

SCHOOL

1. Provide school level input and assistance in evaluating improvement plan.
2. Cooperate in subsequent reviews of District improvement effort.
3. Recommend re-study according to school needs.

STATE

1. Provide technical assistance as needed.
2. Provide consultation on any subsequent re-study.

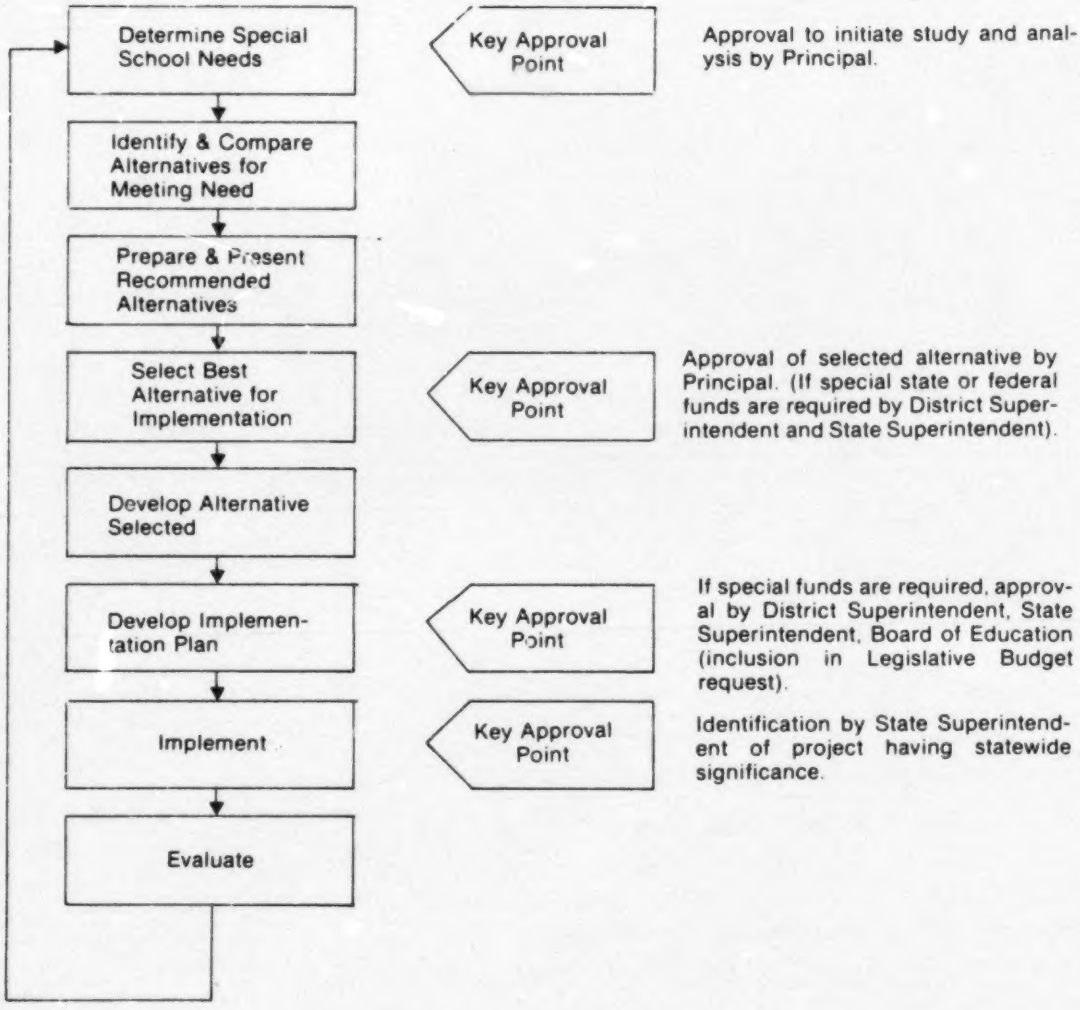
C. PROCEDURES FOR SCHOOL-INITIATED CHANGE: SELECTION OR DEVELOPMENT OF SCHOOL IMPROVEMENT PROVISIONS

The criteria for selecting the School-Initiated Change Strategy are the detection and analysis of a high priority curriculum and instructional need at a particular school and the decision that this need can best be met through school initiative and leadership.

At the school level, where dynamic local needs arise within the statewide program, the school may find various assessment and improvement models to be helpful in relating the intention of the Foundation Program Assessment and Improvement System to procedures which are more specific and meaningful for them. An intervention model for assessing and improving the school's reading program is contained in the appendix.

The major activities in the School-Initiated Change Strategy and the key approval points in relation to the activities are contained in the figure which follows.

Figure 4. School-Initiated Change Strategy


Determine Special School Needs
Identify & Compare Alternatives for Meeting Need
Prepare & Present Recommended Alternatives
Select Best Alternative for Implementation
Develop Alternative Selected
Develop Implementation Plan
Implement
Evaluate
Key Approval Point
Approval to initiate study and analysis by Principal.
Key Approval Point
Approval of selected alternative by Principal. (If special state or federal funds are required by District Superintendent and State Superintendent).
Key Approval Point
If special funds are required, approval by District Superintendent, State Superintendent, Board of Education (inclusion in Legislative Budget request).
Key Approval Point
Identification by State Superintendent of project having statewide significance.

The section which follows identifies major improvement work phases in relation to the duties and responsibilities of School, District and State personnel.

Work Phases: (1) IDENTIFICATION AND ANALYSIS OF PROGRAM NEEDS (2) ANALYSIS, SELECTION AND RECOMMENDATION OF SOLUTION ALTERNATIVE(S)

SCHOOL

1. Take initiative in identifying school needs according to Foundation Program Objectives and State policies or guidelines.
2. Organize work group(s) to conduct analysis of problem area(s) and to consider improvement alternatives.
3. Request assistance as appropriate from District/State/external resource agencies.
4. Select best alternative. Forward selected alternative to District Superintendent for review.

DISTRICT

1. Provide schools with information regarding new program developments, including general information on a routine basis and specially prepared bodies of information to help particular school improvement efforts.
2. Maintain central collections of curriculum materials provided by State for use by school personnel in improvement studies.
3. Provide consultation services and assist school personnel in identifying and analyzing needs, developing relevant alternatives and selecting alternative for implementation.

STATE

1. Provide needed consultation and assistance to District personnel working with schools to identify and analyze needs, develop relevant alternatives and select alternative for implementation.
2. Select, procure, distribute and update collections of curriculum materials maintained in Districts for use by school personnel in improvement studies.

Work Phase: (3) DEVELOPMENT OF ALTERNATIVE SELECTED

SCHOOL

1. Prepare plans for developing the alternative selected.*
2. Implement plans.
3. Obtain assistance from District/State/external agencies as appropriate.

---

*If developing the alternative selected requires a major investment of time and resources, notify District of intent to undertake the effort as appropriate.

DISTRICT

1. Provide all needed assistance to school in developing alternative selected.
2. If State approval is required, provide assistance in preparing subsequent Project Management System (PMS) reports.

STATE

1. Provide technical assistance to schools as requested by District.

Work Phase: (4) DEVELOPMENT OF IMPLEMENTATION PLAN

SCHOOL

1. Develop implementation plan consisting of objectives; installation time frame and schedule; personnel, budget and logistical requirements; support services; evaluation.
2. Involve District as appropriate.
3. Submit implementation plan to District for review.

DISTRICT

1. Provide consultation as requested.
2. Review school implementation plan; provide feedback and support.

STATE

1. Provide consultation as requested by District.

Work Phase: (5) IMPLEMENTATION OF SCHOOL IMPROVEMENT PLAN

SCHOOL

1. Coordinate all phases of implementation process.
2. Monitor implementation; make adjustments as necessary.

DISTRICT

1. Examine yearly reports on school improvement effort. Respond as needed.
2. Routinely compile information on school improvement efforts in District (number, type, scale). Include aggregated information of District improvement projects and forward to State Superintendent.

STATE

1. Routinely compile information on school level improvement efforts statewide, providing periodic summary reports to appropriate authorities.
2. Disseminate information on new program developments statewide as appropriate.

Work Phase: (6) EVALUATION OF SCHOOL IMPROVEMENT PLAN

SCHOOL

1. Evaluate improvement effort.
2. Provide evaluation report to District.

DISTRICT

1. Provide evaluation assistance as appropriate to school.
2. Review evaluation report and provide feedback to school.

STATE

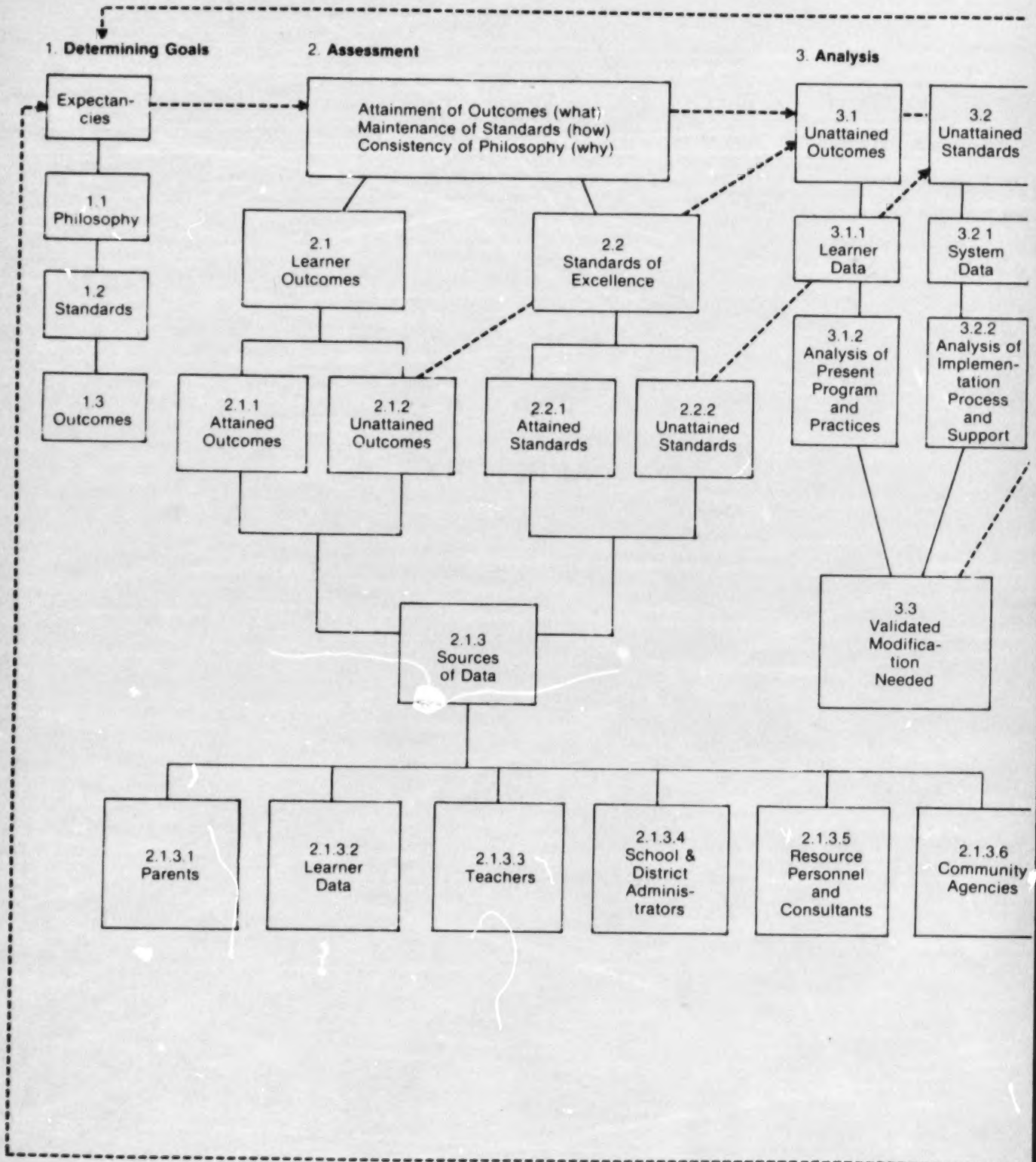
1. Provide evaluation assistance as requested by District.
2. Review and respond to evaluation reports as needed.

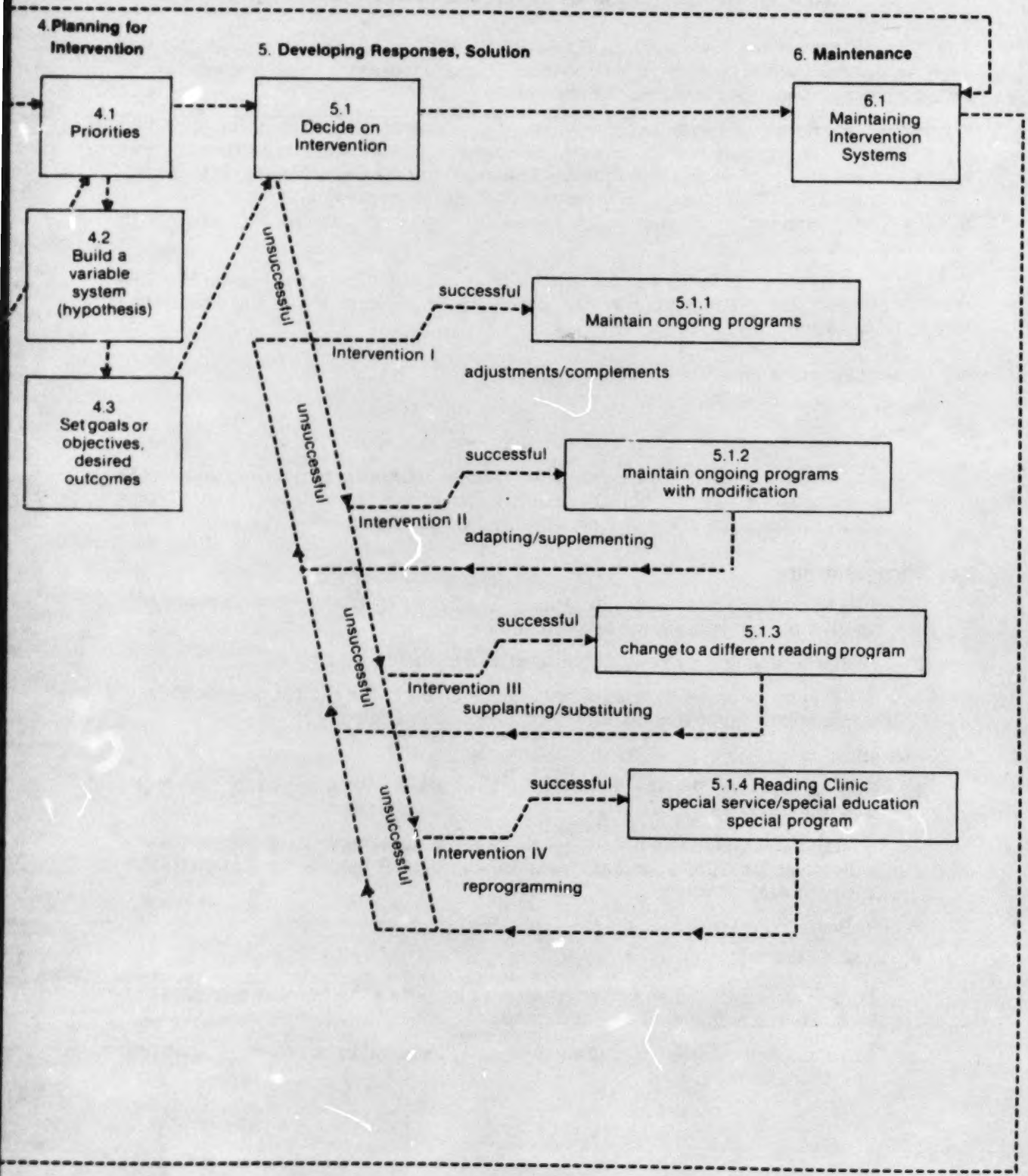
PART III

APPENDIX

APPENDIX A

READING ASSESSMENT AND IMPROVEMENT PROCESS (RAIP)




4. Planning for Intervention
5. Developing Responses, Solution
6. Maintenance
4.1 Priorities
5.1 Decide on Intervention
6.1 Maintaining Intervention Systems
4.2 Build a variable system (hypothesis)
4.3 Set goals or objectives, desired outcomes
unsuccessful
successful
5.1.1 Maintain ongoing programs
Intervention I
adjustments/complements
unsuccessful
successful
5.1.2 maintain ongoing programs with modification
Intervention II
adapting/supplementing
unsuccessful
successful
5.1.3 change to a different reading program
Intervention III
supplanting/substituting
unsuccessful
successful
5.1.4 Reading Clinic special service/special education special program
Intervention IV
reprogramming

Appendix B. COORDINATION OF FOUNDATION PROGRAM ASSESSMENT AND IMPROVEMENT SYSTEM WITH PROJECT MANAGEMENT SYSTEM

The Project Management System (PMS) is based on the belief that research and development serve as a primary agent for change in education. They are means by which innovations can be organized and financed in a responsible manner.

Within the Department, research and development functions are expressed through numerous projects of varying purpose, scope, duration, and cost. The Project Management System has been developed to provide a management framework for the Department's research and development efforts. This system provides the policies, procedures and means by which those who are engaged in research and development efforts can exercise their managerial responsibilities.

Following is a summary of forms and procedures to be applied in using the Project Management System in administering curriculum development projects within the Foundation Program Assessment and Improvement System.

1. **Project Specification**—Form PMS-1

   Purpose:

   1. To reach explicit agreement on the objectives and scope of a proposed project.
   2. To provide a basis for the development of a detailed plan of project implementation in accordance with the objectives and scope of the Project Specification. Note: *Approval does not constitute an authorization to implement the project.*

   Responsibilities:

   1. Initiation by head of the organizational unit from which a proposal is made or to which a project is assigned by high authority.
   2. Review and action by next higher level of management.
   3. Verification of project classification as contained in the Project Specification by Management Audit Branch, Office of the Superintendent.

   Procedure

   1. Originating Unit—Prepare 2 copies. Retain 1 and transmit original to next higher level for review.
   2. Next Higher Level of Supervision—Review and suggest modifications as necessary. Indicate approval/disapproval. Transmit *Approved* Project Specification to Management Audit Branch.

2. **Project Plan**—Form PMS-2

   Purpose:

   1. To provide a detailed and comprehensive plan indicating *how* the project is to be implemented, completed and evaluated.
   2. To secure authorization for the allocation and expenditure of project funds in order to implement the project.

Responsibilities:

1. Initiation by head of the organizational unit identified in PMS-1.
2. Review and action by Supervisors above the project unit and up to the appropriate approving authority.
3. Office of Business Services verifies availability of funds.
4. The following management levels are responsible for final approval of Project Plans, depending on the decision framework and installation scope of the project:

	Decision Framework	
Installation Scope	**Strategic**	**Management**
Statewide	BOE	Superintendent
Districtwide	BOE	Superintendent
Complexwide	BOE	DS/AS*
Schoolwide	BOE	DS/AS*

*Superintendent's approval required if (a) project requires funds not specifically appropriated and allocated to the project, or (b) federal funds required.

5. Assistance from appropriate State Office unit.

Procedure:

1. Originating Unit—Prepare 3 copies. Retain 1 copy and transmit original and 1 copy to next higher level of Supervision for review.
2. Next Higher Level and all other Intermediate levels below the District or Assistant Superintendent—Review and suggest modifications as necessary. Transmit original and 1 copy to District or Assistant Superintendent, whichever the case may be.

3. **Project Status Report**—Form PMS-3

Purpose:

1. To provide concise information on status of project for management review.
2. To provide a basis for determining which projects require special attention.

Responsibilities:

1. Initiation by Project Director in accordance with the schedule contained in Section K of Form PMS-2c.
2. Review by Supervisory levels above the designated project unit.

Procedure

1. Project Director prepares Form PMS-3. Retain 1 copy and submit 1 copy to each Supervisory level up to and inclusive of the authority who approved Form PMS-2, PMS-2A-2F).

In addition, submit 1 copy to Management Audit Branch.

2. Review by Supervisory levels above Project Unit to: (a) determine which projects require special attention, (b) determine what decisions and actions can be taken at management level.

4. **Progress Report**—Form PMS-4

Purpose:

1. To provide management with an in-depth report on the substantive results achieved by the project before its completion.

Responsibilities:

1. Initiation by Project Director in accordance with the schedule contained in Form PMS-2c.
2. Review by all recipient management levels.

Procedure

1. Prepare Form PMS-4 and submit copies to all supervisory levels up to and including the authority which approved the Project Plan. In addition, 1 copy to Management Audit Branch.
2. Review and filing by Supervisory levels.

5. **Project Termination Report**—Form PMS-5

Purpose:

1. To authenticate termination of projects and cessation of project activities.

Responsibilities:

1. Initiation by Project Director.
2. Review by intermediate supervisors.
3. Final disposition of PMS-5 by authority approving the project plan.

Procedure

1. Prepare within 10 days of cessation of project activities original and 3 additional copies of PMS-5. Retain 1 copy and submit original and 2 copies to next higher level of supervision.
2. Intermediate Supervisory Levels—Review and suggest modifications as necessary. Submit original and 1 copy to the appropriate authority which approved the project plan. In addition, 1 copy to Management Audit Branch.
3. **Approving Authority**—Review and take appropriate approval/disapproval action. Transmit original to Project Director and 1 signed copy to Management Audit Branch.

Sample PMS Forms

PMS Form-1
PMS Form-2

PROJECT SPECIFICATION FORM PMS-1	PROJECT TITLE:	CONTROL CODE

A. PROJECT LOCATION:

ORGANIZATION _____

PROJECT DIRECTOR _____

TELEPHONE NUMBER _____ • DATE _____

PROJECT DESCRIPTION

B. PROJECT CLASSIFICATION:

TYPE OF PROJECT (X)	INSTALLATION SCOPE (X)	TESTING NATURE (X)	DECISION FRAMEWORK (X)
☐ RESEARCH	☐ STATEWIDE	☐ PILOT-TEST	☐ STRATEGIC
☐ PLANNING	☐ DISTRICTWIDE	☐ NON-PILOT	☐ MANAGEMENT
☐ DEVELOPMENT	☐ COMPLEXWIDE		
☐ EVALUATION	☐ SCHOOLWIDE		
☐ COMPREHENSIVE	☐ NON-INSTALLATION		
☐ INSTALLATION			

C. WHY IS THIS PROJECT DESIRABLE?

D. WHAT WILL THIS PROJECT ACCOMPLISH? CLEARLY STATE PROJECT OBJECTIVES:

E. WHAT IS THE SCOPE OF THIS PROJECT? (TARGET GROUP, AREA, ETC.)

F. SCHEDULE:

START DATE _____ COMPLETION DATE _____ DURATION _____ (Months)

G. PROJECT PLAN:

☐ ATTACHED ☐ UNATTACHED, SCHEDULED FOR COMPLETION _____ (Date)

H. ESTIMATED PROJECT COST:

PROJECT COST	AMOUNT	NO. OF POSITIONS
PERSONNEL	$ _____	_____
OTHER EXPENSES	$ _____	
TOTAL COST	$ _____	

SOURCE OF FUNDS	AMOUNT	PROGRAM or PUBLIC LAW (P.L.)
GENERAL	$ _____	_____
SPECIAL	$ _____	_____
FEDERAL	$ _____	_____
TOTAL COST	$ _____	☐ ADDITIONAL ALLOTMENT REQUIRED
		$ _____

AUTHORIZATION

I. AUTHORIZATION TO PROCEED WITH DEVELOPMENT OF PROJECT PLAN:

☐ APPROVED ☐ DISAPPROVED ☐ RETURNED

_____ Signature _____ Title _____ Date

VERIFICATION OF PROJECT CLASSIFICATION

TYPE OF PROJECT (X)	INSTALLATION SCOPE (X)	TESTING NATURE (X)	DECISION FRAMEWORK (X)
☐ APPROPRIATE	☐ APPROPRIATE	☐ APPROPRIATE	☐ APPROPRIATE
☐ INAPPROPRIATE PLEASE CHANGE TO: _____	☐ INAPPROPRIATE PLEASE CHANGE TO: _____	☐ INAPPROPRIATE PLEASE CHANGE TO: _____	☐ INAPPROPRIATE PLEASE CHANGE TO: _____

PROJECT PLAN REQUIRES APPROVAL OF:

_____ DIRECTOR, MANAGEMENT SERVICES BRANCH OFFICE OF RESEARCH AND PLANNING _____ Date

PROJECT PLAN FORM PMS-2	PROJECT TITLE:	CONTROL CODE ☐ ORIGINAL PROJECT PLAN ☐ REVISED PROJECT PLAN

A. PROJECT LOCATION:

ORGANIZATION _____

PROJECT DIRECTOR _____

TELEPHONE NUMBER _____ DATE _____

PROJECT CLASSIFICATION

B. PROJECT CLASSIFICATION

TYPE OF PROJECT (X)	INSTALLATION SCOPE (X)	TESTING NATURE (X)	DECISION FRAMEWORK (X)
☐ RESEARCH	☐ STATEWIDE	☐ PILOT-TEST	☐ STRATEGIC
☐ PLANNING	☐ DISTRICTWIDE	☐ NON-PILOT	☐ MANAGEMENT
☐ DEVELOPMENT	☐ COMPLEXWIDE		
☐ EVALUATION	☐ SCHOOLWIDE		
☐ COMPREHENSIVE	☐ NON-INSTALLATION		
☐ INSTALLATION			

VERIFICATION OF FUNDS

C. VERIFICATION ON AVAILABILITY OF PROJECT FUNDS:

☐ FUNDS SPECIFIED IN PROJECT PLAN ARE AVAILABLE ☐ FUNDS ARE NOT AVAILABLE:

GENERAL $ _____

SPECIAL $ _____

FEDERAL $ _____

_____ _____

ASSISTANT SUPERINTENDENT FOR BUSINESS SERVICES Date

AUTHORIZATION

D. AUTHORIZATION TO START PROJECT AND ALLOT FUNDS:

☐ APPROVED ☐ DISAPPROVED ☐ RETURNED

_____ _____ _____

Signature Title Date

FORM PMS-2, 6/73, TAC 73-6405B

Appendix C. PLANNING, PROGRAMMING, BUDGETING SYSTEM (PPBS)

1. Description of the Planning, Programming, Budgeting System

The Planning, Programming, Budgeting System (PPBS) is the system through which the Department of Education and all other Departments of the State develop program plans and seek the resources necessary to carry out the plans. The major components of the system are as follows:

Planning— Identification of the information which is fundamental to any large-scale activity, such as objectives; measures of effectiveness; alternative ways of achieving objectives in relation to costs; effectiveness implications; trade offs among the alternatives; and the set of assumptions, risks and uncertainties against which each of the alternatives must be viewed.

Programming— Description of those programs which are to be implemented over a six-year period. The description is to include what the programs are, how they are to be implemented, when they are to be implemented, and the costs associated with the implementation activities.

Budgeting— Identification of the dollar requirements and funding source to develop and introduce a new program or capability, and then placing that program or capability into operational use. Funding sources include general fund, special fund, and federal funds.

Evaluation— Identification and explanation of significant variations between what was planned earlier and what was actually attained one year later. The variations are to be noted in the three areas of costs, effectiveness and activities for each of the program categories appearing at the lowest level of the Department's program structure.

2. Major Products of Planning, Programming, Budgeting System

The Planning, Programming, Budgeting System produces, on a regular basis, certain documents for specific purposes. In addition, other documents are produced as needed. The major outputs of the system and the date of publication of each are as follows:*

A. THE MULTI-YEAR PROGRAM AND FINANCIAL PLAN

This is a document which displays the State's programs, grouped in accordance with the objectives to be achieved. The document includes program plans which describe the programs recommended to implement the statewide and program objectives and the manner in which the recommended programs are to be implemented over the next six fiscal years. Also included is a financial plan which shows the fiscal implications of the recommended programs for the next six fiscal years.

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*Documents required by Act 185, on a Regular Basis.

Date of Publication: Biannually, in December of each even-numbered calendar year. The document is prepared for use during the legislative session convening during January of the following odd-numbered calendar year.

B. **THE EXECUTIVE BUDGET**

This document presents the financial requirements for the next two fiscal years to carry out the recommended programs. The requirements are the amounts which must be budgeted if the plans are to be implemented as recommended. The document provides detailed information for the first two budget-period years of the financial plan. Also included is a summary of State receipts and revenues for the last completed fiscal year, a revised estimate for the fiscal year in progress, and an estimate for the succeeding biennium (the following budget period).

Date of Publication: Published biannually, at the same time as the Multi-Year Program and Financial Plan, for use by the Legislature during each odd-numbered calendar year.

Note: The administration has chosen the option of combining items *a* and *b* into a single document (The Multi-Year Program and Financial Plan and Executive Budget, sometimes referred to as the Plan/Budget), as provided for in Act 185.

C. **PROGRAM MEMORANDA**

Program Memoranda were made a formal part of the system as part of the 1974 revisions to Act 185. They were designed as a substitute for the individual narratives previously required for higher level programs. Narratives are now required (in the Plan) for lowest level programs only. A Program Memorandum is prepared for each of the eleven major program areas (Level I Programs). The memoranda provide an overview of each major program, the principal changes being proposed for it, along with the analytic rationale for those changes, an assessment of emerging problems and alternative solutions thereto, and finally, they suggest a possible program of analysis to meet the emerging problems.

Date of Publication: Published biennially, in conjunction with the submission of the Plan and Executive Budget. The Program Memoranda are to be delivered to the Legislature by the opening day (in January) of each odd-numbered calendar year's session.

D. **THE VARIANCE REPORT**

The Variance Report is for the purpose of identifying and explaining variances in actual program performance and planned program performance. Variances in effectiveness, costs, personnel positions, and program size indicators (target groups and activities) are included.

Date of Publication: Annually, no less than twenty days prior to the convening of each regular session of the Legislature, for use in the legislative session convening the following January. The Variance Report is the only document required on an annual basis.

E. SUPPLEMENTAL BUDGET

During each even-numbered year's legislative session, the administration may submit to the Legislature a Supplemental Budget to amend any appropriation for the current fiscal biennium. The Supplemental Budget must reflect the changes being proposed in the State's program and financial plan. The document is not a legal biennial requirement, but as a practical matter it is almost a certainty that one will be required every other year.

3. Place of Planning, Programming, Budgeting System in the Department's Overall Planning System

The Planning, Programming, Budgeting System appears at the *fourth* level of the Department's overall planning system described below:

Level and Type of Planning	Purpose & Description
I: Statewide	To identify goals, or commitments to action, for entire State. Makes assumptions and estimates of long-range (up to year 1985) changes in the State's social and economic conditions, among them population growth, patterns of land use, transportation and recreation; and provides a basis for departmental decision-makers to identify their goals and program plans. Principal Document: **State of Hawaii General Plan (Revised)** Principal User in DOE: BOE, State Superintendent
II: Departmental—Long-Term	To specify the long-range objectives and program commitments for public education (up to year 1985) in the light of Level I planning. Reports on philosophy of education; societal expectations; the broad commitments of policy, directions, and expectations of the Governor and the Legislature, and the overall framework for curriculum planning. Principal Document: **Master Plan for Public Education in Hawaii** Principal Users: DOE Leadership Group (Assistant and District Superintendents)
III: Departmental—Intermediate Term (6-12 years)	To translate the Master Plan into specific academic, guidance, student activities and administrative programs. Specifies the minimum levels of program offerings to each student regardless of size or location of the school in which the student is enrolled.

	Principal Document:	**Foundation Program**
	Principal Users:	DOE Leadership Group and Principals
IV: Departmental—Short Term (6 years)	To translate the Foundation Program into specific program plans and strategies. Using the techniques and format of PPBS, objectives are specified; alternative programs are identified and analyzed in terms of their costs and effectiveness; and specific programs selected.	
	Principal Document:	**Multi-year Program and Financial Plan, Special Analytic Studies**
	Principal Users:	DOE Leadership, Department of Budget and Finance, Legislature, Governor
V: Departmental—Operational	To translate all plans and decisions into detailed programs. Specific learning outcomes are prepared; personnel screening and hiring procedures are identified; in-service training procedures are set up; brochures for communities, parents, and students are prepared; monitoring system for quantity and quality control are developed; and evaluation and feedback procedures are developed.	
	Principal Documents:	**Curriculum Guides, Handbooks**
	Principal Users:	Teachers and Principals

For a fuller discussion on the Planning, Programming, Budgeting System, the reader is referred to *Procedures Handbook for State and District Offices,* PPB System, Office of Research and Planning, TAC 74-8727, December 10, 1974.